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IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

Attorney Docket No.: **Poly-47**

Applicants: **Stephen ARNOLD et al.**

Serial No.: **10/758,248**

Filing Date: **January 15, 2004**

Title: **PERTURBATION APPROACH TO RESONANCE SHIFT OF WHISPERING  
GALLERY MODES IN A DIELECTRIC MICROSPHERE AS A PROBE OF A  
SURROUNDING MEDIUM**

Examiner: **Not yet assigned**

Group Art Unit: **2878**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

S I R:

**Information Disclosure Statement Transmittal**

The applicants respectfully request that the references listed on the attached PTO/SB/08A be considered in the examination of the above-identified application. A copy of each of these references, except for U.S. patents and patent application publications is enclosed. (See the notice, "Information Disclosure Statements May Be Filed Without Copies of U.S. Patents and Published Applications in Patent Applications Filed After June 30, 2003," Pre-OG Notices (July 11, 2003).)

The applicants reserve the right to establish that any of the references listed on the attached PTO/SB/08A are not prior art to the above-captioned application.

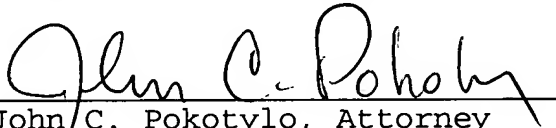
Since a first Office Action on the merits has not yet been received, the applicants assume that this Information Disclosure Statement should be considered under 37 C.F.R.

§§ 1.97(b)(3). **Accordingly, it is believed that no fee is due.**

If, however, an Office Action on the merits has been mailed before the filing date of this Information Disclosure Statement, the Office is authorized to charge any fee required to have the Information Disclosure Statement considered to the deposit account of Straub & Pokotylo, deposit account number 50-1049.

Respectfully submitted,

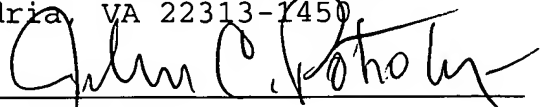
Dated: April 7, 2005

  
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**CERTIFICATE OF MAILING under 37 C.F.R. 1.8(a)**

I hereby certify that this correspondence is being deposited on **April 7, 2005** with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
John C. Pokotylo      36,242  
Reg. No.

(modified, PTO/SB/08A)



U.S. Department of Commerce  
Patent and Trademark Office

*Complete if Known*

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(use as many sheets as necessary)

Application Number: **10/758,248**  
Filing Date: **January 15, 2004**  
First Named Inventor: **Stephen ARNOLD**  
Group Art Unit: **2878**  
Examiner Name: **Not yet assigned**

Sheet **1** of **2** Attorney Docket No.: **Poly-47**

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines where relevant Passages or Figures appear
	AA	4,169,804	10/02/1979	YAPPEL, Jr.	
	AB	5,231,533	07/27/1993	GONOKAMI et al.	
	AC	5,496,997	03/05/1996	POPE	
	AD	5,786,219	07/28/1998	ZHANG et al.	
	AE	6,266,459	07/24/2001	WALT et al.	
	AF	US 2001/0033587 A1	10/25/2001	PAINTER et al.	
	AG	US-2002/0037132 A1	03/28/2002	SERCEL et al.	
	AH	US-2002/0041730 A1	04/11/2002	SERCEL et al.	
	AI	US-2002/0044739 A1	04/18/2002	VAHALA et al.	
	AJ	6,389,197	05/14/2002	ILTCHENKO et al.	
	AK	US 2002/0080842 A1	06/27/2002	AN et al.	
	AL	US-2002/0081055 A1	06/27/2002	PAINTER et al.	
	AM	US-2002/0122615 A1	09/05/2002	PAINTER et al.	
	AN	6,490,039	12/03/2002	MALEKI et al.	
	AO	6,583,399	06/24/2003	HUNZIKER et al.	

Examiner Initials*	Cite No. <sup>1</sup>	<u>Foreign Patent Document</u>		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>				

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Unique citation designation number. 2 See attached kinds of U.S. Patent Documents. 3 Enter Office that Issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the Indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16, if possible. 6 Applicant is to place a check mark here if English language translation is attached.

U.S. Department of Commerce Patent and Trademark Office		<i>Complete if Known</i>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		Application Number: <b>10/758,248</b>	
		Filing Date: <b>January 15, 2004</b>	
		First Named Inventor: <b>Stephen ARNOLD</b>	
		Group Art Unit: <b>2878</b>	
		Examiner Name: <b>Not yet assigned</b>	
Sheet	<b>2</b>	of	<b>2</b>
		Attorney Docket No.: <b>Poly-47</b>	

OTHER REFERENCES - NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume, issue number(s), publisher, country, where published, source	T <sup>2</sup>
	BA	A. Serpengüzel, S. Arnold and G. Griffel, "Excitation of resonances of microspheres on an optical fiber," <u>OPTICS LETTERS</u> , Vol. 20, No. 7, pp. 654-656, (April 1995).	
	BB	S. Arnold, "Microspheres, Photonic Atoms and the Physics of Nothing," <u>American Scientist</u> , Volume 89, pp. 414-421 (September-October 2001).	
	BC	Vollmer, Frank; Arnold, Stephen; Braun, Dieter; Teraoka, Iwao; "Multiplexed DNA Quantification by Spectroscopic Shift of Two Microsphere Cavities," <u>Biophysical Journal</u> , Volume 85, September 2003 (1974-1979).	
	BD	Cai, Ming; Hunziker, Guido; Vahala, Kerry; "Fiber-Optic Ad-Drop Device Based on a Silica Microsphere-Whispering Gallery Mode System," <u>IEEE Photonics Technology Letters</u> , Volume 11, No. 6, (June, 1999)	

Examiner Signature		Date Considered	
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